

Governor's Commission on Physical Fitness and Sports



Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
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Functional and Organizational Analysis of the Governor's Commission on Physical Fitness and Sports

Sources of Information

- Representatives of the Governor's Commission on Physical Fitness and Sports
- Code of Alabama 1975 § 22-5-1 to § 22-5-9
- Governor's Commission on Physical Fitness and Sports Audit Report
- Alabama Government Manual (2006) page 364
- Publications of the Governor's Commission on Physical Fitness and Sports

Historical Context

The Governor's Commission on Physical Fitness and Sports was established in 1967 by the Legislature (Acts 1967 No. 215, p. 580). Alabama was the second state, Maryland being the first, to establish this kind of agency. Act 2005-169 amended the Code of Alabama 1975 § 22-5-3 through § 22-5-5.

Agency Organization

Prior to the implementation of Act 2005-169, the Governor's Commission on Physical Fitness and Sports (hereafter referred to as the commission) consisted of twenty-five (25) members appointed by the governor. Each member was to serve a four-year term on a rotating basis. Act 2005-169 changed the composition of the commission to seven members appointed by the governor from each of the state's seven congressional districts. Members are appointed from various professions and interest groups related to physical fitness. The members of the commission are appointed for terms as follows: (1) the members from districts one, two, three, and four are appointed for terms of three years each; (2) the members from districts five, six, and seven are appointed for terms of four years each. As the term of each member expires, his/her successor will be appointed for a term of four years, except that each member will serve until his/her successor is appointed and qualified. Members are eligible for reappointment. Upon the death, disability, resignation, removal, or refusal to serve of any member, the governor will appoint a qualified person to fill the unexpired term. The commission meets regularly at the call of the governor, the commission's chairman, or the commission's executive director. Four members constitute a quorum.

The governor, upon recommendation of the commission, appoints an executive director of the commission. The executive director serves as secretary of the commission, chief administrator, and executive officer of the commission. The commission may employ, subject to the state merit system, professional, technical, clerical, stenographic, and other personnel to carry out the duties and functions of the commission.

Agency Function and Subfunctions

The mandated function of the commission is to protect, promote, and improve the physical fitness of the residents of the state. It is one of the agencies responsible for performing the stewardship functions of Alabama government.

In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with the Code of Alabama 1975 § 22-5-4, the commission is authorized to adopt such rules and regulations as are necessary and proper to govern its procedure and business.
- **Promoting and Coordinating Physical Fitness Programs.** In accordance with the Code of Alabama 1975 § 22-5-5, the commission is obligated to collect, assemble, and disseminate information in the interest of physical fitness programs in the state by publication, advertisement, conferences, workshops, programs, lectures, and other means. In addition, the commission sponsored and coordinated a number of sports and fitness related activities. Examples of activities may include, but are not limited to, Alabama Special Olympics, Law Enforcement Torch Run, Alabama Sports Festival, Employee Health and Fitness Day, Physical Fitness and Sports Month, Senior Olympics State Games, Alabama Youth Fitness Testing and Awards Program, Health People 2010, Dixie Wheelchair Games, and Blue Gray National Collegiate Tennis Classic. The commission is also authorized to support and fund certain sport or physical fitness activities through grants.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, and documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accountings for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Governor's Commission on Physical Fitness and Sports

Agency Record Keeping System

The Governor's Commission on Physical Fitness and Sports operates a hybrid system composed of paper and electronic records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Governor's Commission on Physical Fitness and Sports: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal and administrative requirements have been met.

- **Subject Files.** This series consists of subject files containing various correspondence, memoranda, reports, agendas, notes, and other related materials concerning the work of the commission. The commission maintains this series for 10 years for reference purposes.

II. Permanent Records. The Government Records Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Agendas, Minutes, and Packets of the Governor's Commission on Physical Fitness and Sports.** This series constitutes the core documentation of the activities of the agency's governing body. (**Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Governor's Commission on Physical Fitness and Sports**)

Promoting and Coordinating Physical Fitness Programs

- **Annual Reports.** The Code of Alabama 1975 § 22-5-8 mandates the commission to make annual reports to the governor and the Legislature. Information included in the annual report may contain the history and goals of the commission, lists of sponsored and cooperative activities, publication titles, year in review, and financial statements. (**Bibliographic Title: Annual Reports**)
- **Publications.** This series consists of a large number of publications designed and prepared by the commission, in conjunction with other agencies/organizations, to promote fitness programs in Alabama. Examples of publications include: the Youth

Fitness Test Manual, Presidential Sports Award Program, Special Olympics Yearbook and State Games Souvenir Program, Report of the Governor's Task Force on Physical Activity and Health, Physical Activity and Health At-A-Glance Brochure, Alabama Spirit Month Brochure, Town Hall Meetings – Youth Obesity, Adapted Physical Activity and Disability Sports, and Alabama Sports Festival. These documents should be preserved permanently to document the commission's efforts in disseminating information on physical fitness related activities. **(Bibliographic Title: Publications)**

- **Photographs.** These are photos taken by the commission staff at various physical fitness related activities. This series should be preserved permanently as a documentation of activities sponsored or coordinated by the commission. **(Bibliographic Title: Photographs)**

Administering Internal Operations

- **Website.** The commission is in the process of establishing a website. When implemented, the website should be preserved as it serves as an important medium for communication with the public. **(Bibliographic Title: Website)**
- **Inventory Lists.** The Code of Alabama 1975 § 36-16-8[1] requires that "... All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts." These files need to be maintained in the agency's office.

Permanent Records List Governor's Commission on Physical Fitness and Sports

Promulgating Rules and Regulation

1. Meeting Agendas, Minutes, and Packets of the Governor's Commission on Physical Fitness and Sports

Promoting and Coordinating Physical Fitness Programs

1. Annual Reports
2. Publications
3. Photographs

Administering Internal Operations

1. Website
2. Inventory Lists*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Governor's Commission on Physical Fitness and Sports Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and § 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Governor's Commission on Physical Fitness and Sports. The RDA lists records created and maintained by the Governor's Commission on Physical Fitness and Sports in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Governor's Commission on Physical Fitness and Sports to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Governor's Commission on Physical Fitness and Sports' records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back

messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff.. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Governor's Commission on Physical Fitness and Sports and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

*** denotes agency vital records, defined as records required to carry on its essential operations, to protect its legal and financial interests, and to assist in its recovery during a period of emergency or natural disaster.*

Promulgating Rules and Regulations

MEETING AGENDAS, MINUTES, AND PACKETS OF THE GOVERNOR'S COMMISSION ON PHYSICAL FITNESS AND SPORTS **

Disposition: PERMANENT RECORD.

Commission Member Appointment Files**

Disposition: Temporary Record. Retain 8 years after the term is expired.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Promoting and Coordinating Physical Fitness Programs

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

PUBLICATIONS

Disposition: PERMANENT RECORD.

PHOTOGRAPHS

Disposition: PERMANENT RECORD.

** Alabama Department of Archives and History (ADAH) Recommendation: To ensure useful photographic collections for future staff and researchers, the ADAH recommends agency staff members select only the best photographs from each event, activity, photo opportunity for long-term preservation. Also helpful to future users is the placement of the following information on*

the back of each photograph: date, location, names of people featured in photograph, and/or activity documented in photograph. This can be done using a pencil or an archival quality pen.

Subject Files

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the records were created.

Printing Service Files (Negatives, Plates, Camera-Readies, etc.)

Disposition: Temporary Record. Retain until superseded, obsolete, or no longer useful.

Grant Project Application and Administration Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administering Internal Operations: Managing the Agency

WEBSITE

Disposition: PERMANENT RECORD. Preserve a complete copy of website annually or as often as significant changes are made.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Copy of RDA

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.

System documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

Administering Internal Operations: Managing Finances

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks**

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting requests for authorization by supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

Contractual records established for the purpose of services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Agency Audit Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Administering Internal Operations: Managing Human Resources

Records documenting payroll (e.g. pre-payroll reports, payroll check registers, and other related reports or records)**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting employee hours worked, leave earned and leave taken**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of employee final leave status**

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting an employee's work history – generally maintained as a case file**

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources

INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975 § 36-16-8[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Agency Copies of Transfer of State Property Forms (SD-1)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing Records**

Disposition: Temporary Record. Retain 6 years after termination of lease.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle is removed from the property inventory.

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Under the Code of Alabama 1975 § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Governor’s Commission on Physical Fitness and Sports (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in January of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure its records’ preservation and accessibility for the periods legally required.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division should preferably employ an electronic records management

system capable of sorting e-mail into folders and archiving messages having long-term value.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this Records Disposition Authority on January 28, 2009.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged:

Ronnie Floyd, Acting Executive Director
Governor's Commission on Physical Fitness and Sports

Date